



# **PERFORMANCE AUDIT REPORT**

## **Security Controls at the Youth Center at Topeka**

**A Report to the Legislative Post Audit Committee  
By the Legislative Division of Post Audit  
State of Kansas  
April 1986**

# ***Legislative Post Audit Committee***

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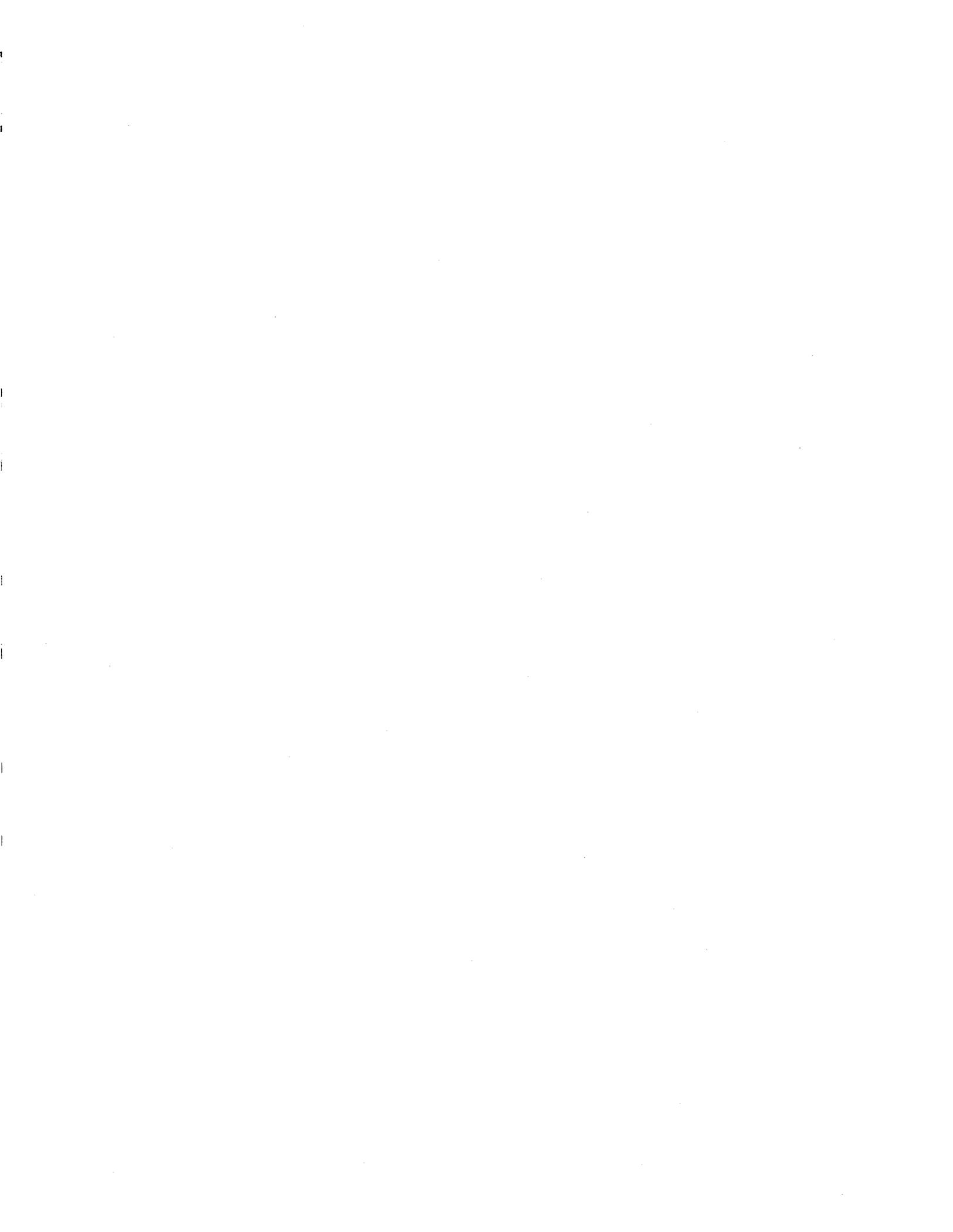
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#### **OBTAINING AUDIT INFORMATION**

This audit was conducted by Leo Hafner, Senior Auditor, and Curt Winegarner, Auditor, of the Division's staff. If you need any additional information about the audit's findings, please contact Mr. Hafner at the Division's offices.

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## **A REVIEW OF SECURITY PROCEDURES AT THE YOUTH CENTER AT TOPEKA**

### **Summary of Legislative Post Audit's Findings**

**How effective are the Youth Center's control procedures for handling and safeguarding cash?** As a result of recent burglaries, the Youth Center has drafted new security procedures which should help to prevent future thefts. The Center could further reduce its risk of theft by reducing the amount of cash it keeps in its safe overnight, and by depositing canteen receipts in the bank on a daily basis. The Youth Center's accounting controls over cash receipts appear to be adequate. However, these controls could be improved by assigning bank-reconciliation duties to someone who has no responsibility for receiving money, writing checks, or posting to the accounting records.

**How effective are the Youth Center's procedures for controlling the administering and use of drugs?** The auditors found weaknesses in the Youth Center's recordkeeping procedures for prescription drugs and controlled substances. The Center does not maintain inventory control cards on all prescription drugs, and drug administration records maintained in the cottages are not always accessible or accurately filled out. The Center's procedures for preventing drug or substance abuse appear to be comparable to those of other youth centers, but somewhat less stringent than those of minimum-security correctional institutions. Although contraband from outside the institution can easily be obtained by students, drug abuse does not appear to be a major problem. The Center is currently reviewing its visitation procedures to help control the possibility of contraband being brought onto campus.

**How effective are the Center's procedures for ensuring the safety of its staff?** Student confinement at the Youth Center is based on individual behavior. The Center does not maintain a security staff, but instead uses youth service workers to monitor and supervise students. Compared to other youth centers, the Topeka Youth Center has fewer youth service workers per student. During the first nine months of fiscal year 1986, 15 staff members were attacked by students. The most serious of these attacks were associated with escape attempts that occurred when only one staff member was on duty in the cottage. Youth Center officials indicate that more staff and better detention facilities are needed to improve staff security. The Center has explored a number of options for addressing these needs.



## **A REVIEW OF SECURITY PROCEDURES AT THE YOUTH CENTER AT TOPEKA**

Following reports of a February 1986, burglary of the business office safe at the Youth Center at Topeka and several incidents of violence against the Center's staff, legislative concerns were expressed about the Center's security control systems. Generally, those concerns focused on control procedures over cash and drugs, and provisions for ensuring the safety of staff. To address these concerns the Legislative Post Audit Committee directed the Legislative Division of Post Audit to conduct an audit of the security procedures at the Youth Center at Topeka. This audit focused on the following three questions:

1. **How effective are the Youth Center's control procedures for handling and safeguarding cash?**
2. **How effective are the Youth Center's procedures for controlling the administering and use of drugs?**
3. **How effective are the Center's procedures for ensuring the safety of its staff?**

To answer these questions, the auditors visited the Youth Center and interviewed staff to determine what safeguards the Center had instituted in each of the areas to be audited. Where possible, the auditors tested those controls to determine that they were working as described. They reviewed written reports of incidents that have taken place during fiscal year 1986 to determine the magnitude of incidents involving cash, drugs, or staff security. They also compared controls over drugs and general security with controls established by the other youth centers and with minimum-security institutions managed by the Department of Corrections.

The auditors found that the Youth Center has established new security procedures in response to recent burglaries. These procedures should aid in the prevention of further losses. Controls over the collection, safeguarding, and recording of cash appear to be adequate, although they could be improved by reducing the amount of cash kept on campus and by reassigning some accounting duties. The Center does not maintain a large supply of prescription drugs, but could improve the recordkeeping of drugs that are dispensed. Because the Center is an open-campus setting, controlling illegal drugs that may be brought on campus from the outside is difficult. Restricting visitors may be one way of providing some additional control.

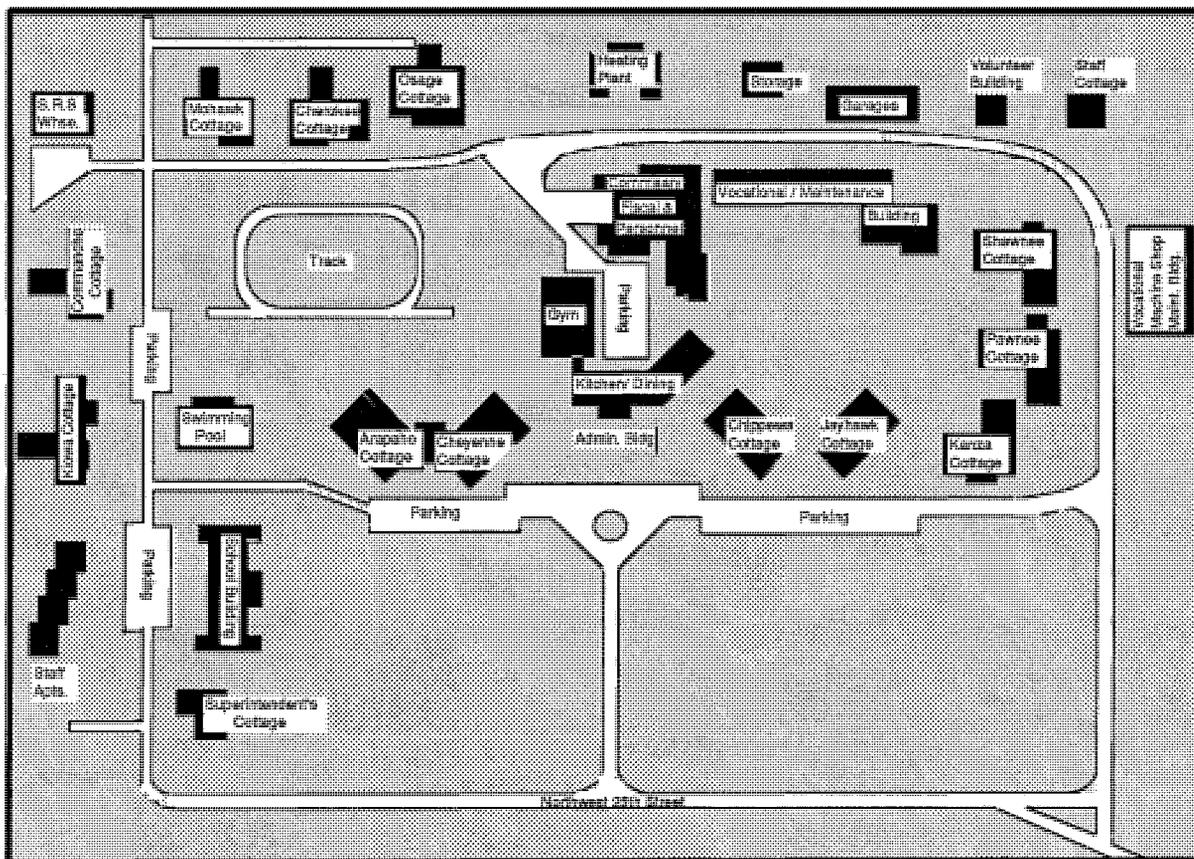
The auditors also found that the Youth Center uses youth service workers rather than a security staff to monitor students. The level of supervision students receive is based on their behavior. Fifteen staff members have been attacked during fiscal year 1986. The most severe of those attacks appear to be associated with escape attempts. Youth Center officials indicate that they need additional staff and more secure detention facilities to help prevent such attacks in the future. These and other findings are discussed in more detail after the following brief description of the Youth Center.

### **The Youth Center At Topeka**

The Youth Center at Topeka is one of four centers for the rehabilitation of delinquent youth in Kansas. Centers are also located in Atchison, Beloit, and Larned. The Topeka

Center is the State's largest youth rehabilitation and detention facility. It generally houses the 13-to-18-year-old male youths committed to the State's care. It is managed by a superintendent under the jurisdiction of the Commissioner of Youth Services for the Department of Social and Rehabilitation Services. The Center provides social and vocational counseling and training. It also contracts with a local school district to provide an on-campus, accredited educational program. For fiscal year 1985, the Center had 202 employees, spent nearly \$7 million, and housed about 200 youths on the average.

The Center is an open, unfenced facility located on 60 acres on the northern edge of Topeka. The facility includes 12 cottages for housing students, a school building, vocational classrooms, an administration building, a central kitchen and dining facility, a gymnasium, a swimming pool, a building for fiscal and personnel offices, staff cottages, and various warehouses, garages, barns, and other structures related to maintenance and physical plant operations. The figure below shows a diagram of the Youth Center's facilities.



### How Effective Are the Youth Center's Procedures For Handling and Safeguarding Cash?

To answer this question, the auditors interviewed the Youth Center's staff to determine the sources of cash transactions and the controls that had been established to safeguard cash received and held at the institution. They also selected a sample of cash transactions and traced them through the system to determine that the controls were working as described. Finally, they examined safekeeping procedures for cash held at the

Youth Center overnight and counted the petty cash and change funds to determine that all moneys were accounted for.

The auditors found that the Youth Center has recently drafted new security procedures as a result of recent burglaries. It appears that the corrective action taken will help prevent future thefts. The Youth Center could further reduce its risk of theft by reducing the amount of cash it keeps in its safe on an overnight basis. The Center's accounting controls for safeguarding its cash receipts appear to be adequate. However, these controls could be improved by assigning bank reconciliation functions to someone who has no responsibility for receiving money, writing checks, or posting to the accounting records. Finally, receipts from the Youth Center's canteen operation should be deposited in the bank on a daily basis. These findings are discussed below.

### **Recent Thefts Have Occurred at the Youth Center**

On the morning of February 6, 1986, the Youth Center's staff arrived for work to find that the safe in the fiscal building had been burglarized. The door to the office in which the safe was kept was open and the safe itself was open. There were no signs of forced entry. Staff reported a cash box containing about \$833 had been taken from the safe. Staff notified the Department of Social and Rehabilitation Services and also the Topeka Police Department. On February 11, the superintendent found that someone had left a large paper bag in front of his residence. Inside the bag was the cashbox stolen from the safe. The box contained \$801. To date, the police have not charged anyone with this burglary. The investigation is continuing.

Another incident occurred on February 20, 1986, when cameras and photographic equipment valued at about \$2,200 were stolen from the print shop. To date, none of the equipment has been recovered. Youth Center officials have turned over the name of a former student suspected of committing the burglary, but no charges have yet been filed. In response to these thefts, Youth Center officials have reviewed their security measures and made some significant changes.

**Prior to the thefts controls were ineffective.** Nearly 25 percent of the staff had "grand master" keys. Fourteen people had access to the office where the safe was kept. Eight people knew the combination to the safe, including four former employees. Prior to the thefts, the Youth Center did not have a policy of periodically changing the combination to the safe or changing it when employee turnover occurred.

**Since the burglaries, Youth Center officials are tightening controls.** They are calling in all "grand master" keys and reissuing them only to employees who absolutely need them. They also changed a number of locks including those on the print shop, the computer room, and on the office where the safe is kept. Only two employees have been issued keys to the office where the safe is kept, and the combination to the safe has been changed. Those same two employees and the business manager are the only ones who know the safe's combination. A new policy was also instituted to change the combination several times a year, and whenever employee turnover would require a change.

The Youth Center has also established "night rovers" who are youth service workers that patrol the campus and make periodic checks to ensure that all doors are locked. The janitors will also check for unlocked doors in their assigned work areas and make daily reports of unlocked doors. Efforts have also been made to reduce the number of unauthorized staff present on the campus between the hours of 6 p.m. and 6 a.m. These

procedures appear to provide an adequate response to the problems that have been encountered. A full listing of the Center's updated security procedures can be found in Appendix A.

### **The Youth Center's Exposure to Loss Can Be Diminished By Reducing The Amount of Cash It Keeps on Hand**

The Youth Center maintains a \$1,000 change fund that is used to provide cash for student allowances and incidental supplies that are purchased from the Center's canteen. The fund was established from receipts of the Student Benefit Fund and is replenished with money from the Student Trust Funds. This change fund is the largest pool of cash kept on the campus, and accounts for the large amount of money taken from the safe during the recent burglary.

By reducing the amount of cash on hand, the Youth Center can reduce its exposure to loss. In discussions with the business manager, the auditors were told that Center officials have discussed the possibility of instituting a checking system that students could use to make purchases from the canteen. Such a system would reduce the amount of cash necessary in the change fund and provide a learning experience for students. It appears that some type of system eliminating the need for such large amounts of cash has merit. If implemented, however, it will need to be carefully thought out to ensure that recordkeeping requirements and the possibility of students overdrawing their available funds does not outweigh the benefit. Another possibility for eliminating the use of cash might be a script or coupon system in which students are issued certificates in varying denominations to make their purchases at the canteen.

### **Accounting Controls Over Cash Receipts Could Be Improved**

The Youth Center does not receive large amounts of cash receipts. The most frequent cash receipts are from student and staff purchases at the canteen, parents depositing money to be held in a student's trust account, the sale of meal tickets and scrap metal, and miscellaneous donations. The auditors examined controls over the various cash receipts and traced a sample of those receipts to the accounting records and to deposits in the appropriate bank accounts or with the State Treasurer. They found that the Youth Center has established adequate controls over the receipt and deposit of cash. However, two areas could be improved: separating duties among persons performing accounting functions, and making more frequent bank deposits of canteen receipts.

**Separating duties among persons performing accounting functions would improve the Center's controls over cash receipts.** Currently, the person responsible for posting accounting records and writing checks on the various bank accounts to pay expenses is the same person who reconciles the bank statements. From a control standpoint, it is desirable to get as much separation between these functions as possible. The auditors were told that the responsibility for reconciling the bank accounts had been recently reassigned to another staff member. However, there was no evidence that this staff member was performing this duty yet.

**Depositing canteen receipts more frequently would tighten controls over cash.** The employee who has recently assumed responsibility for the canteen operations indicated to the auditors that the canteen receipts were being deposited in the bank account daily. However, the auditors' review of canteen accounting and bank records showed that, through the first week of March, receipts were being deposited every two or three days. Daily receipts from the canteen generally total between \$50 and \$100. Any moneys not deposited in the bank are kept in a locked file cabinet overnight. Because the

institution prepares bank deposits for several accounts and sends a driver to the bank every day, it would not appear to be burdensome to require that canteen receipts are deposited in the bank on a daily basis. Daily deposits would leave less money on the premises overnight, resulting in less exposure to loss from break-ins.

### **Conclusion**

In response to recent burglaries, the Youth Center has instituted new security procedures that should help prevent future losses. Existing accounting controls over cash receipts are generally adequate, but could be strengthened by reducing the size of the Center's change fund, separating some accounting duties, and making more frequent deposits of canteen receipts.

### **Recommendations**

To provide improved controls over cash, the Youth Center should do the following:

1. The Center, should explore options for reducing the amount of the cash change fund necessary to fund student purchases at the Institution's canteen.
2. The Center should provide better separation between the duties of posting to accounting records, writing checks on the bank accounts, and reconciling bank statements to accounting records.
3. The Center should also ensure that moneys collected from canteen operations are deposited to the bank account daily.

### **How Effective Are the Center's Procedures For Controlling The Administering And Use of Drugs?**

To answer this question, the auditors interviewed nursing officials at the Youth Center to determine what types of drugs were maintained on campus and how those drugs were controlled. The auditors tested a sample of records to determine whether procedures were being followed as described. They also spoke with other officials at the Center to determine what procedures were in effect to prevent illegal drugs from being brought onto the campus from outside sources. They reviewed incident reports for fiscal year 1986 to determine the number and types of incidents involving student use of drugs. Finally, they contacted the other youth centers and some minimum-security institutions operated by the Department of Corrections to determine what procedures they have implemented with regard to the control of drugs.

The auditors found weaknesses in the recordkeeping procedures for prescription drugs and controlled substances. In particular, they found that the Youth Center does not maintain inventory control cards on all its prescription drugs, and that drug administration records maintained at the cottage level are not always accessible or accurately filled out. The Topeka Youth Center's procedures for preventing drug or substance abuse appear to be comparable to those of other youth centers, but somewhat less stringent than those of minimum-security correctional institutions. Because the Youth Center is a relatively open

facility, students can easily obtain contraband. However, drug abuse does not appear to be a major problem. Since the beginning of fiscal year 1986, nine incidents involving drug or substance abuse by youths have occurred at the center. The Youth Center is currently in the process of reviewing its visitation procedures to help control the possibility of contraband being brought on campus from the outside. These findings are discussed below.

### **Controls Over Prescription Drugs and Controlled Substances Could Be Improved Both Centrally and in the Cottages**

The Youth Center maintains a supply of prescription drugs in the campus infirmary. Generally, prescription drugs are obtained only when they are needed for specific students. The Center maintains a stock of some commonly used medications that are prescribed by the Center's consultant physician. Prescription drugs used by the Youth Center are stored in a locked closet in the campus infirmary. Only the two nurses have keys to this closet. When medication is prescribed by the consultant physician, the staff nurses distribute the medication to the student's cottage where cottage staff administer it to the student and record it on the student's medication record.

**The use of inventory control cards in the Youth Center's infirmary would provide a stronger record of transactions involving prescription drugs.** At the time of the audit, the Center had on hand, nearly 100 prescription medications for students. Many of the medications were left over from students no longer at the Center. Four of those drugs are on the federal government's list of controlled substances. The auditors found that the Center maintained perpetual inventory records for two of the controlled drugs, Tylenol with codine and Valium. For the other two controlled drugs and for the remainder of the prescription medications, there was no up-to-date record documenting how much of the drug should be on hand. For these drugs the only records were invoices to document purchases, and numerous loose memos recording the amounts of the drugs that had been sent to the cottages.

The auditors were able to verify that the proper amounts were on hand for the two drugs for which inventory records were maintained. But they were unable to reconcile the amounts on hand with the invoices and individual memos maintained for a sample of the other drugs. For example, invoices showed that the Youth Center had purchased 100 tablets of Phenobarbital, which is a federally controlled substance. The number of tablets in the bottle at the date of the audit was 41. Hence, there should have been memos indicating that 59 tablets had been dispensed to the cottages. However, the auditors' count of the memos showed that 68 tablets of the drug had been dispensed, leaving nine more tablets in the bottle than could be accounted for by the records.

The nursing staff explained that they must have obtained but not recorded some emergency supplies of the medication from the pharmacist at the Topeka State Hospital. By maintaining inventory control cards that show the purchases and the distributions of all prescription drugs used, better control of drugs could be achieved.

**Better records on drugs administered in the cottages would also improve the integrity of the system.** Infirmary records indicated that controlled substances were issued to nine different students during fiscal years 1985 and 1986. The auditors attempted to determine whether these drugs had been properly delivered to the cottages and administered to the students. The nursing or cottage staffs were able to locate the proper records for only four of the nine students. Of the four that were found, only one accounted for all the medication sent by the nurses. In the other three cases, the medication

was either logged inaccurately or not logged at all. Therefore, it appears that the Youth Center needs to institute procedures to ensure that medical records are more accurately maintained and controlled.

### **Procedures For Preventing Drug Abuse Are Comparable to Other Youth Centers, But Less Stringent Than at Minimum-Security Correctional Facilities**

The auditors spoke with officials at other youth centers and several minimum security correctional facilities to determine what methods are used to prevent drugs from being brought into the institutions from the outside and to determine how they detect the use of drugs by residents. Those discussions showed that correctional facilities were somewhat more stringent in their approach to prevention of drug use than the youth centers.

**The four youth centers rely primarily on observation of student behavior to detect illicit drug use.** Methods such as drug tests and room searches are usually employed only when other indicators point to an apparent problem. Students are generally searched only when they return from being off-campus or when possession of contraband is suspected. When a student is caught with drugs the punishment is a reduction in privileges and progress toward parole. Visitors to the youth centers are required to check in and receive a pass. They are not required to show positive identification or submit to any type of search. In many cases, students are allowed to meet visitors in a relatively unsupervised setting.

**Correctional facilities also use observation of inmates to detect drug use, but rely more heavily on drug testing and searches.** Inmates are routinely strip-searched and tested for drugs each time they return from a furlough. In addition, the Vocational Training Center conducts about 100 random drug tests per month. When an inmate is caught with drugs, he or she is automatically sent back to one of the higher-security institutions. Visitors to correctional facilities are required to produce positive identification, and can be subjected to a search if the staff suspects a smuggling attempt. Generally, visits are carried out in front of a staff member who would likely observe any drugs being exchanged.

### **Although Contraband Can Easily Be Obtained, Drug Abuse Does Not Appear to Be a Major Problem at the Topeka Youth Center**

Youth Center officials indicated that it would be fairly easy to smuggle contraband such as drugs onto the Center's campus. Nevertheless, only 11 of approximately 200 students tested for drug use in fiscal year 1985 had positive test results. About half of the students that tested positive had just returned from furlough. Because the residue from certain drugs can remain in a person's system for several days, it is likely that the drug use for these individuals occurred while they were away from the institution.

The auditors' review of incident reports at the Youth Center showed that, during the first nine months of fiscal year 1986, only nine incidents of drug or substance abuse were reported, or an average of about one per month. The table on the next page summarizes those incidents.

As the table shows, only five of the incidents involved the actual use or sale of drugs. Two involved sniffing paint thinner, one involved alcohol, and another involved a student asking a staff member to obtain drugs for him.

**Instances of Drug or Substance Abuse  
Since the Beginning of Fiscal Year 1986**

<u>Location</u>	<u>Date &amp; Time</u>	<u>Description</u>
<u>Cherokee Cottage</u>	07-22-85 10:15p	Student caught with three marijuana cigarettes and two packages of papers.
<u>Commanche Cottage</u>	09-04-85 6:45p	Student asked employee to bring him marijuana.
<u>Kanza Cottage</u>	09-12-85 3:05p	Students caught sniffing paint thinner.
<u>Mohawk Cottage</u>	07-25-85 8:30p	Student caught sniffing paint thinner.
<u>Osage Cottage</u>	07-11-85 6:20p 08-03-85 10:15p 08-10-85 11:45p	One student sold two lithium capsules to another. Two students caught smoking marijuana. Three students caught after having smoked marijuana.
<u>Pawnee Cottage</u>	03-22-86 9:30p	A student gave drugs to three other students: two were treated at the hospital for overdoses.
<u>Auto Shop</u>	12-16-85 day	Student caught drinking alcohol taken from a staff member's car.

Reducing the incidence of student drug or substance abuse may require a more restrictive visitors policy and more frequent searches of students. While there have not been a large number of incidents involving the use of drugs, one of those incidents did involve drug overdoses that hospitalized two students. In that case it appears the drugs were obtained from a student's mother during a visit. In two other cases, students were caught inhaling paint thinner, which they could have obtained from the vocational shops on campus. Incidents of this kind could be prevented through more restrictive visiting policies, and by inspecting students' belongings when they leave areas where they have access to materials such as paint thinner.

The superintendent at the Youth Center indicated that Center officials have begun an internal review of visitation procedures to make them more restrictive. The superintendent indicated that pre-arranged visits aimed at cutting down the number of people who will be allowed to come on campus may be required in the future. Parents wishing to visit would need to contact the clinician in charge of the student. The clinician would provide notice of the visit to the information center. Those who were not pre-approved would likely be turned away. These plans are still in the discussion stage.

**Conclusion**

The auditors found problems with the recordkeeping for prescription drugs both in the infirmary and in the cottages. Controls to prevent the use of illegal drugs appear to be comparable to other youth centers. Drug abuse by students does not appear to be a major problem at this time.

### **Recommendations**

To provide better control over prescription drugs, the Youth Center should do the following:

- a. Maintain perpetual inventory records that show amounts purchased, amounts dispensed, and the balance on hand for all prescription drugs.
- b. Instruct all cottage staff on the importance of accurately filling out students' medical record cards when drugs are administered.
- c. Dispose of medications ordered for students who are no longer at the Center and that are of no value for current students.

### **How Effective Are the Center's Procedures For Ensuring the Safety of Its Staff?**

The auditors interviewed officials at the Youth Center to determine what methods are used to control students and to guard against violent attacks on staff. They reviewed write-ups on incidents that have occurred during fiscal year 1986 to determine the number and severity of any attacks on staff. They also computed the cost of those attacks in terms of medical expenses and lost time on the job. Finally, they contacted the other youth centers and some minimum-security Department of Corrections' facilities to determine staffing levels available for controlling populations at these facilities and procedures for protecting staff.

The auditors found that student movement is restricted on the basis of individual behavior. The Youth Center does not maintain a security staff, but instead uses youth service workers to monitor and supervise students. It has fewer youth service workers per student than the State's other youth centers. During the first nine months of fiscal year 1986, 15 cases of students threatening or attacking staff have been recorded. The most serious attacks were associated with escape attempts. These and other findings are discussed in the sections that follow.

### **The Level Of Confinement At the Youth Center Is Based On Each Students' Behavior**

Treatment at the Center is based on a system in which the residents earn and lose points based on their behavior. As the students earn points, they progress through 10 levels, earning increasing levels of responsibility, privileges, and freedom. They must reach level 10 to earn parole; however, no youth can be held beyond age 21 by law. Youths are first placed in an admission cottage for a four-week orientation and assessment period. After the initial four weeks, the youth is either placed in a closed cottage, a semi-closed cottage, or an open cottage.

The four closed cottages provide the most restrictive living environment for the most resistive and troubled students. These cottages are always locked. Students in closed cottages have constant supervision and seldom leave the secured cottage area. Two semi-closed cottages provide a moderately structured environment for students who misbehave or show psychological or personality problems. Semi-closed cottages are locked, but students are sometimes allowed to come and go with staff permission. The five open

cottages are the core of the rehabilitation program. Open cottages are locked only at night. Students in open cottages receive a variety of responsibilities, privileges, and freedoms based on their behavior and the level they have achieved in the point system. The open cottages serve as a "proving ground" by giving the students an opportunity to show how well they have adjusted. For problem students, the Center maintains a 13-bed detention facility for short-term confinement or seclusion. Appendix B shows information about the Youth Center's cottages, including their capacities, populations, and the like.

### The Topeka Youth Center Has Fewer Youth Service Workers Per Student Than Other Youth Centers

Youth service workers serve as the Youth Center's security staff. They are assigned to each of the cottages around the clock, and some workers are assigned duty as "night rovers" to patrol the campus at night and to help the workers assigned to the cottages. The number of youth service workers assigned to each cottage varies according to the time of day. All cottages are staffed with only one youth service worker on the 11p.m.-to-7 a.m. shift.

The auditors compared the number of youth service workers at the Topeka Youth Center with the State's other three youth centers and with the security staffs at three minimum-security facilities operated by the Department of Corrections. Their comparison showed that the correctional facilities generally had smaller security staffs. Of the four youth centers, the Topeka Center had the smallest number of youth service workers for its population. The table below shows the results of these comparisons.

<u>Institution</u>	<u>Recent Population</u>	<u>Living Units</u>	<u>Type of Facility</u>	<u>Total Security Staff (a)</u>	<u>Ratio of Security Staff to Population</u>
Youth Center-Atchison	104	8	Unfenced	69	1 to 1.6
Youth Center-Beloit	83	5	Unfenced	50	1 to 1.7
Youth Center-Larned	60	2	Unfenced	41	1 to 1.5
<b>Youth Center-Topeka</b>	<b>211</b>	<b>12</b>	<b>Unfenced</b>	<b>115</b>	<b>1 to 1.9</b>
Eldorado Honor Camp	96	6 (b)	Unfenced	18	1 to 5.4
Topeka Pre-Release	62	1	Unfenced	27	1 to 2.3
Ks. Corr. Voc. Trng. Ctr.	200	5	Unfenced (c)	59	1 to 3.4

(a) The youth centers do not have a security or guard staff. Their security is provided by the youth service workers whose job is to monitor student activities at all times. Some youth service workers are assigned to dorms, others are roving monitors.

(b) Although there are six living units, four are within the same building.

(c) A fence is currently being erected around the Vocational Training Center.

As the table shows, the security staffs at the correctional facilities ranged from one for every 2.3 inmates at the Topeka Pre-Release Center to one for every 5.4 inmates at the Eldorado Honor Camp. The youth centers generally had one youth service worker for every 1.5 students to 1.9 students. The Youth Center at Topeka had the lowest staff-to-

student ratio. To make that ratio comparable to the other youth centers, the Topeka Youth Center would need about 10 additional youth service workers.

### **Fifteen Staff Members Have Been Threatened or Attacked So Far in Fiscal Year 1986**

For the first nine months of the year, 123 reports were written for 98 separate incidents. The number of reports totals more than the number of incidents because some involved more than one student, and a report was written for each student involved. Of the 98 total incidents, 15 involved some sort of threat or violent attack on a staff member. Those 15 are summarized below.

<b>Instances of Violence Since the Beginning of Fiscal Year 1986</b>			
<b><u>Location</u></b>	<b><u>Date &amp; Time</u></b>		<b><u>Description</u></b>
<u>Cherokee Cottage</u>	01-19-86	7:00p	Student threatened staff and tried to prevent call for assistance.
<u>Commanche Cottage</u>	09-17-85	11:30a	Student hit and kicked staff escorting him to his room.
	03-23-86	12:00a	Three students surprised and assaulted staff, five students escaped.
<u>Jayhawk Cottage</u>	07-29-85	1:10p	Student threw a chair at staff.
	10-03-85	6:55p	Student hit staff member from behind with a broom handle.
	11-08-85	11:30p	Staff member was jumped by student while unlocking room, two students escaped.
	03-03-86	12:15a	Student picked lock on dorm and attacked staff in catwalk area; the student escaped.
<u>Kiowa Cottage</u>	08-01-85	6:45p	Student became combative with staff and had to be restrained.
	08-24-85	7:00p	Staff hit in the lip during struggle with student.
<u>Mohawk Cottage</u>	10-22-85	7:40p	Student pushed and swung at staff and had to be restrained.
<u>Osage Cottage</u>	07-07-85	3:30p	Student threatened to steal handcuffs and hit staff member
	01-04-86	7:30p	Student verbally and physically out-of-control; penalized for assaulting a staff member.
<u>Pawnee Cottage</u>	11-15-85	2:45p	Two students dragged staff member to floor, staff bumped heads with students.
<u>Shawnee Cottage</u>	2-18-86	1:30a	Staff distracted by one student and attacked from behind by another student. Two students escaped.
<u>Schoolhouse</u>	01-29-86	9:40a	Student threatened to stab teacher with pen.

As the table shows, all but one of the attacks took place in student cottages. Four of the attacks occurred during the day shift, seven occurred during the evening shift, and four were during the late-night shift. Most of the attacks occurred while staff members were in the process of disciplining or restraining students. Attacks of this type do not usually result in serious injury because the staff member is already alert to a problem and is prepared to

defend him or herself. Only one staff member was injured in an incident of this kind. That staff member was accidentally struck in the mouth while breaking up a fight between two students.

The most serious attacks appear to be those arising from student escape attempts. A total of six attacks at the Youth Center have resulted in hospital treatment for employees so far in fiscal year 1986. Four of those attacks have been connected with escape attempts. These four attacks all occurred during the late night shift when only one staff member was on duty in the cottage. In each case the staff members were taken by surprise and incapacitated before they could defend themselves.

The costs associated with attacks requiring hospital treatment for employees are shown below.

<u>Injuries Sustained</u>	<u>Medical Costs</u>	<u>Cost of Time Off Work</u>			<u>Total Cost</u>
	<u>Payable by Workers' Compensation</u>	<u>Absorbed by Workers' Comp.</u>	<u>Absorbed by the Agency</u>	<u>Charged To Employee Sick Leave</u>	
<b>Employee #1:</b> Elbow laceration, pain in head, back, and neck	\$125	\$0	\$0	\$98 (13 hrs.)	\$223
<b>Employee #2</b> Head laceration, six stitches, cervical strain	\$201	\$0	\$0	\$134 (14.5 hrs.)	\$334
<b>Employee #3</b> Blow to shoulder, emergency room visit	\$27	\$0	\$0	\$0	\$27
<b>Employee #4</b> Laceration of lower lip, three stitches	\$88	\$0	\$0	\$55 (8 hrs.)	\$144
<b>Employee #5</b> Head laceration, stitches, and a broken hand	\$325 (a)	\$744 (a)	\$220 (a)	\$289 (40 hrs)	\$1,577
<b>Employee #6</b> Bruises on head and leg and cuts on left hand	<u>Unknown (b)</u>	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>	<u>Unknown</u>
<b>Total</b>	<b>\$766</b>	<b>\$744</b>	<b>\$220</b>	<b>\$576</b>	<b>\$2,305</b>

(a) Employee was injured on 2-18-86 and was off work through the end of March 1986. Costs shown are through March 17, 1986. Agency officials estimate that he could be off several additional weeks.  
(b) Employee was injured on 3-23-86, medical expenses have not yet been billed.

As the table shows, the known costs associated with the six attacks have been more than \$2,300 to date. Approximately one-third of that amount was direct medical expenses. The remainder was the value of lost work time.

It appears that work time lost because of these injuries should not have been charged to the employees' sick leave. Four of the employees attacked had various amounts of time charged to their sick leave for the time they were unable to be on the job. Kansas Administrative Regulation 1-9-22, which went into effect in June 1985, provides "job injury leave" not exceeding six months for employees injured in the

course of their employment as a result of a shooting, stabbing, or aggravated battery. The regulation is retroactive to January 1, 1985, and states that any vacation or sick leave credits charged in connection with a qualifying injury should be restored. It appears that the injuries sustained by Youth Center employees qualify under the aggravated battery provision of the regulation. Therefore, any sick leave charged against these employees should be restored.

### **Youth Center Officials Indicate That More Staff And Better Detention Facilities Are Needed To Improve Security**

The auditors asked officials of the Youth Center what they thought were the greatest deficiencies in security at the facility. For the most part, those officials indicated that the lack of double staff coverage in cottages during the night shift was the most serious inadequacy. Both the program director and the director of youth services emphasized there had never been any serious student assaults when more than one staff member was present in a cottage. In addition, these officials voiced numerous concerns about the security of the campus' temporary detention facility, known as Jayhawk Cottage. These concerns included the lack of adequate security doors for the seclusion rooms, the inability of staff on duty to monitor the rooms from the control station, and the use of a single staff member to monitor both the campus control center and the detention unit during the night shift. Furthermore, the officials interviewed cited a number of instances in which students were able to pick locks, kick down the doors to their rooms, or break out through the plaster ceilings.

**The Youth Center has explored a number of options for improving security.** In response to the recent problems at the Youth Center, youth service workers assigned to provide back-up assistance to cottages during the night shift were given added security responsibilities such as checking doors and patrolling uninhabited areas of the campus. Several Youth Center officials indicated that the combined responsibilities for cottage support and campus security caused these employees to be spread too thin. To alleviate this problem, the Youth Center recently submitted a proposal to create nine new security officer positions at an annual cost of \$114,500. If approved, the new security force would assume responsibility for campus patrols on all shifts, and for the operation of the campus control center. This would leave the youth service workers currently assigned to these duties free to provide double coverage in the closed cottages during the night shift.

The Youth Center also has developed several proposals for upgrading its short-term detention facility (Jayhawk Cottage). One proposal, included in the Governor's Budget for fiscal year 1987, called for \$4,500 to install an audio surveillance system in the detention facility. This would allow the staff to monitor unusual noise or conversation taking place in the seclusion cells during the night shift. Another proposal included in the Youth Center's fiscal year 1992 capital improvement budget calls for \$22,000 to install 10 new security doors in the facility.

In addition to these proposals, the Youth Center is currently investigating the possibility of purchasing electronic "officer protection devices" for use by all staff. These devices are small transmitters that can be activated by staff members in trouble to notify the campus control center and pinpoint the exact location of the incident. Although officials in the business office have contacted several suppliers about this equipment, no cost estimates were available at the time of the audit.

### **Conclusion**

In sum, the Youth Center's main method of providing security for its staff is by monitoring students to ensure that they do not get out of hand. The staff available to monitor students at the Youth Center at Topeka, is somewhat less than that at the other youth centers. Since the beginning of fiscal year 1986, there have been 15 incidents involving violence against staff members. Six of those required hospital treatment for employees. The only method available for increasing security appears to be providing additional resources to monitor students either physically or electronically. The Youth Center has made proposals for these additional resources and for security improvements to its detention facility.

### **Recommendation**

To comply with Kansas Administrative Regulation 1-9-22, the Youth Center at Topeka should restore any sick leave or vacation leave charged to employees as a result of qualifying on-the-job injuries sustained after January 1, 1985.

## **APPENDIX A**

### **New Security Measures For The Youth Center At Topeka**

The following documents describe new security procedures being implemented as a result of recent burglaries at the Youth Center.



## SECURITY MEASURES FOR THE YCAT CAMPUS

Due to the recent rash of unsolved break-ins on the YCAT campus, administration has decided to implement a written policy regarding certain steps that will be taken to insure a more secure campus.

The following will become effective with the publication of this policy. In the case of most of these procedures, a memo will follow explaining each in detail.

### Sec 1 SECURING THE SCHOOL BUILDING AFTER NORMAL WORKING HOURS AND ON WEEKENDS

- 01 Brackets will be installed for a 2" x 4" wood board to secure the North-west, Southwest, and East doors of the School Building.
- 02 Entrance and exit to and from the School Building after 5PM on normal school days and on weekends will be through the North door.
- 03 The outside porch light at the East entrance and the inside vestibule light at both West entrances shall also be left on at night.
- 04 Procedures issued on February 25, 1986.

### Sec 2 NIGHT ROVER SECURITY CHECK OF CAMPUS BUILDINGS

- 01 The Night Rovers check cottage security twice during each shift.
- 02 The Night Rovers shall also check all other buildings on the YCAT campus and report any exterior doors not locked to the Superintendent or the Business Administrator.
- 03 The Night Rovers shall also make a written report of any unauthorized person or vehicle they may encounter during their rounds.
- 04 The Night Rovers shall check all non-cottage buildings on the YCAT campus twice (2) during each shift.
- 05 Procedures already in effect.

### Sec 3 SECURITY CHECK BY JANITORS OF ASSIGNED WORK AREAS

- 01 The janitors will make a security check of all interior and exterior doors in their assigned work area at approximately 5PM and 9PM each evening.
- 02 They shall report any unlocked doors to the Maintenance Engineer on their daily report.
- 03 They shall lock all unlocked doors if they possess the appropriate keys.
- 04 They shall also report any unauthorized person or vehicle they may encounter during their rounds on their daily report.
- 05 Procedures already in effect.

Sec 4 STAFF ON CAMPUS AFTER NORMAL WORKING HOURS

- 01 Off-duty staff members visiting their work areas must be authorized to do so by their supervisors.
- 02 Off-duty staff members visiting staff residences and/or cottages are not affected by this policy.
- 03 Between the hours of 6PM and 6AM, off-duty staff will report to Kanza Cottage both before and after they leave their destination and fill out the After Hours Report of Activity.
- 04 On weekends during normal work hours, the After Hours Report of Activity will be filled out at the Information Center, and at Kanza Cottage the rest of the time.
- 05 Procedures will be effective upon publication of this policy.

Sec 5 CHANGES EFFECTING THE KEY AND LOCK SYSTEM AT YCAT

- 01 A study of our present key system has revealed that more than 25% of current staff have been issued a Grand Master key, that's not including the ones we don't know about. In order to upgrade the present system so that it meets the needs of our security policy, the following steps will be taken.
- 02 All staff are requested to turn in their Grand Master key.
- 03 Grand Master keys will be replaced with a key that will be more appropriate for the area or building involved.
- 04 Inner Circle keys will be done away with and be replaced with a new Cottage Master key.
- 05 The exchange of keys will be coordinated by the Engineering Office.
- 06 According to a report completed by the Engineering Office on all key/lock systems on the YCAT campus, a decision will be made by the Business Administrator as to the appropriate keys that each staff member is entitled to be issued.
- 07 No Grand Master key will be issued without written approval from the Superintendent or the Business Administrator.
- 08 All requests for keys, other than those authorized initially, must be done so in writing by the Program Director for clinical staff and Business Administrator for Service Department staff.
- 09 Procedures will be effective upon publication of this policy.

REFERENCE:  
Policy 0003  
Sec 4  
Date March 1986

TO: ALL STAFF AND TEACHERS

FROM: David J. Finnegan  
Business Administrator

RE: STAFF ON CAMPUS AFTER NORMAL WORKING HOURS

Due to recent problems on the YCAT campus with break-ins, a new policy regarding security will be adopted.

Since there appears to be quite a bit of unauthorized activity taking place on the YCAT campus after normal working hours, steps are being taken to lessen the above.

The following procedures will become effective with the receipt of this memo:

- 1) Between the hours of 6PM and 6AM, any off-duty staff member returning to the campus to visit a work area that is not staffed on a 24 hour basis or has no special activity occurring during the employee's visit, will be required to do the following:
  - a) Go to Kanza Cottage before going to your desired destination and fill out the After Hours Report of Activity Form.
  - b) Upon leaving the desired area, the employee will report back to Kanza Cottage and complete the After Hours Report of Activity form.
- 2) On weekends during normal working hours, off-duty staff members should report to the Information Center to fill out the After Hours Report of Activity Report, and to Kanza Cottage when the Information Center is closed.
- 3) The same procedures will be followed by staff whether they go to Kanza Cottage or the Information Center to fill out the form.
- 4) The visiting of staff residences and/or cottages by off-duty staff is not addressed in the policy, and thus, is not made a part thereof.

cdp

Attachment: After Hours of Activity Report Form

cc: Gene Wilson  
Carl Strumfa  
Ila Kelly



YOUTH CENTER AT TOPEKA  
TOPEKA KANSAS

To: GENE WILSON, DAVE FINNEGAN, JANE ADAMS,  
ROLLIE NELSON, RON HUBBARD, BOB HEINTZELM

MEMORANDUM

From: Paul Wangerin, Physical Plant Supv. II

Date: February 25, 1986

Subject: SCHOOL BUILDING, NIGHT SECURITY IMPROVEM

Effective March 4, 1986, at 5:00 pm in the School Building, there will be a change in securing the building at nights and on the week-ends. It is the request of Mr. Wilson to improve the security system in the School Building especially with all the computers and other equipment that the school now has.

Brackets were made and installed on the east entrance and the two west entrance doors with a 2 X 4 board to be placed in the brackets for securing the doors at night only.

The procedure for securing the doors will be as follows:

1. The boards will be placed in the doors at 5:00 pm or shortly after by the custodian.

Note: If the custodian is absent, the boards will be placed in the doors by the last person or persons leaving the building.

2. After 5:00 pm, all entering and leaving of the building will be done through the north entrance door only.
3. The first person to enter the building the next morning can remove the boards and store as follows:
  - A. East Entrance: Board stored in the counselors office.
  - B. Southwest Entrance: Board stored in the closet in the entrance way.
  - C. Northwest Entrance: Board stored in the stairwell leading to the basement.

Note: Boards must be removed during school hours due to Fire Escape Purposes.

4. Also effective as of the date of this memo, the following lights will be left on at night:
  - A. Outside porch light at east entrance.
  - B. The inside vestibule light at both west entrances.

If there are any questions or concerns, please feel free to contact me.

PW:tlw

REFERENCE:

Policy #0003

Sec 1

Date March 1986

REFERENCE:  
Policy 0003  
Sec 5  
Date March 1986

TO: ALL STAFF AND TEACHERS  
FROM: David J. Finnegan  
Business Administrator  
RE: KEY AND LOCK SYSTEM CHANGES  
DATE: March 24, 1986

All staff are requested to turn in their Grand Master key effective upon receipt of this memo. The Grand Master key will be exchanged for a key that will be more appropriate for the area or buildings involved. This transaction will be done by Paul Wangerin at the Engineer's Office. Keys will be checked and exchanged as needed.

Also effective upon receipt of this memo, the inner circle key will be exchanged with what now will be called the cottage master. This is a big step in improving our security on campus.

Any questions can be answered during the transaction of the key exchange. Hopefully this will be taken care of as soon as possible.

cdp

## APPENDIX B

### Cottage Populations At The Youth Center

<u>Cottage</u>	<u>Cottage Type</u>	<u>Rated Capacity</u>	<u>Recent(a) Population</u>	<u>Attacks(b) On Staff</u>
Jayhawk	Temporary Security	10	13	4
Chippewa	Closed	18	19	0
Commanche	Closed	16	15	2
Kiowa	Closed	16	16	2
Mohawk	Closed	16	16	1
Arapaho	Semi-Closed	24	17	0
Cheyene	Semi-Closed	21	24	0
Cherokee	Open	23	19	1
Kanza	Open	15	15	0
Osage	Open	24	19	2
Pawnee	Open	23	20	1
Shawnee	Open	<u>23</u>	<u>18</u>	<u>1</u>
<b>Totals</b>		<b>229</b>	<b>211</b>	<b>14</b>

(a) These numbers do not include all students assigned to the cottage, only those physically present on 3-28-86. Students on furlough are not counted.

(b) This includes all incidents involving violence or threats of violence against staff during the first nine months of fiscal year 1986.



## **APPENDIX C**

### **Agency Response**

A copy of the draft audit report was sent to the Department of Social and Rehabilitation Services for its review and comment on April 11, 1986. The response to the audit is included in this Appendix.



STATE OF KANSAS

JOHN CARLIN, GOVERNOR

STATE DEPARTMENT OF SOCIAL AND REHABILITATION SERVICES

YOUTH SERVICES

ROBERT C. HARDER, SECRETARY

2700 WEST 6TH STREET  
TOPEKA, KANSAS 66606  
(913) 296-3284  
KANS-A-N 561-3284

April 18, 1986



Mr. Meredith Williams  
Legislative Post Auditor  
109 West 9th, Suite 301  
Mills Building  
Topeka, Kansas 66612

Dear Mr. Williams:

This office has reviewed the contents of the LPA Draft Audit on the security at the Youth Center at Topeka and we feel that the report gives a clear cut and concise picture of the problems at the youth center.

The report has done an accurate job of pinpointing the problem areas. It has highlighted the steps already taken by the Youth Center at Topeka staff to alleviate some of the security gaps and it also has suggested some areas to concentrate on in the future.

This document can serve the youth center in the future as a valuable support mechanism to budgetary requests for items that affect this agency's security.

There are three places where we would recommend minor wording changes, these areas are highlighted on the attached copy and suggested changes have been made in the margins.

Sincerely,

  
Robert C. Harder,  
Secretary

RCH:BSC:wjf  
ATT:

